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| Substitute Form PTO-1449<br>(Modified)  | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>09857-044001    | Application No.<br>09/841,661 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary) |  | Applicant<br>John Delta and Donald Basic |                               |
| (37 CFR §1.98(b))   |  | Filing Date<br>April 24, 2001            | Group Art Unit                |

| <b>U.S. Patent Documents</b> |           |                 |                  |          |       |          |                            |
|------------------------------|-----------|-----------------|------------------|----------|-------|----------|----------------------------|
| Examiner Initial             | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|                              | AA        |                 |                  |          |       |          |                            |
|                              | AB        |                 |                  |          |       |          |                            |
|                              | AC        |                 |                  |          |       |          |                            |
|                              | AD        |                 |                  |          |       |          |                            |
|                              | AE        |                 |                  |          |       |          |                            |
|                              | AF        |                 |                  |          |       |          |                            |
|                              | AG        |                 |                  |          |       |          |                            |
|                              | AH        |                 |                  |          |       |          |                            |
|                              | AI        |                 |                  |          |       |          |                            |
|                              | AJ        |                 |                  |          |       |          |                            |
|                              | AK        |                 |                  |          |       |          |                            |

| <b>Foreign Patent Documents or Published Foreign Patent Applications</b> |           |                 |                  |                          |       |          |                            |
|--|-----------|-----------------|------------------|--------------------------|-------|----------|----------------------------|
| Examiner Initial   | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation<br>Yes      No |
|  | AL        |                 |                  |                          |       |          |                            |
|  | AM        |                 |                  |                          |       |          |                            |
|  | AN        |                 |                  |                          |       |          |                            |
|  | AO        |                 |                  |                          |       |          |                            |
|  | AP        |                 |                  |                          |       |          |                            |

| <b>Other Documents (include Author, Title, Date, and Place of Publication)</b> |           |   |
|--|-----------|---|
| Examiner Initial   | Desig. ID | Document  |
|  | AQ        | “Special Study: ECNs and After-hours Trading” retrieved from the U.S. Securities and Exchange Commission website <URL: <a href="http://www.sec.gov/news/studies/ecnafter.htm">http://www.sec.gov/news/studies/ecnafter.htm</a> > on 7/22/2007, document was published in June 2000. |
|  | AR        | Nasdaq’s website on “Index Descriptions” retrieved from <a href="http://quotes.nasdaq.com/references/indexDescriptions.htm">http://quotes.nasdaq.com/references/indexDescriptions.htm</a> on 7/22/2007.   |
|  | AS        | Nasdaq’s website on “NASDAQ-100 After Hours IndicatorSM” retrieved from <URL: <a href="http://dynamic.nasdaq.com/dynamic/nasdaq100_indicator_after.htm">http://dynamic.nasdaq.com/dynamic/nasdaq100_indicator_after.htm</a> > on 7/22/2007.   |
|  | AT        | Hansard et al., “This Dinner Theater Features Tragedies,” Investment News, vol. 5, no. 13, page 2, April 2, 2001.   |

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|--|-----------------|
| Examiner Signature   | Date Considered |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |

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|--|-----------|---|--|
| Examiner Initial   | Desig. ID | Document  |  |
|  | AU        | Office Action and Reply filed in Serial No. 09/941,491. |  |

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Substitute Disclosure Form (PTO-1449)

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